

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

HARRINGTON GLOBAL OPPORTUNITY
FUND, LIMITED,

Plaintiff,

-against-

CIBC WORLD MARKETS CORP., CIBC
WORLD MARKETS INC., BANK OF
AMERICA SECURITIES, INC., MERRILL
LYNCH CANADA INC., MERRILL LYNCH
PROFESSIONAL CLEARING CORP., TD
SECURITIES, INC., TD SECURITIES(USA)
LLC, CORMARK SECURITIES, INC., UBS
FINANCIAL SERVICES, INC., UBS
SECURITIES CANADA, INC., SOCIETE
GENERALE CAPITALE CANADA, INC.,
SG AMERICAS SECURITIES, LLC, AND
JOHN DOES 1 THROUGH 10,

Defendants.

Case No. 1:21-cv-00761 (LGS)

RULE 7.1 CORPORATE DISCLOSURE STATEMENT

Pursuant to Rule 7.1 of the Federal Rules of Civil Procedure, Defendants UBS Financial Services, Inc. and UBS Securities Canada, Inc. provide the following disclosure:

UBS Financial Services, Inc. is wholly owned by UBS Americas Inc., which is wholly owned by UBS Americas Holding LLC. UBS Americas Holding LLC is wholly owned by UBS AG. UBS Securities Canada, Inc. is wholly owned by UBS Holding Canada Ltd., which is a wholly owned by UBS AG. UBS AG is wholly

owned by UBS Group AG, a publicly traded company. No publicly held corporation owns 10% or more of UBS Group AG stock.

Dated: March 23, 2021

New York, New York Respectfully submitted,

BAKER & MCKENZIE LLP

By: /s/Laura Zimmerman
Laura Zimmerman
452 Fifth Avenue
New York, NY 10018
laura.zimmerman@bakermckenzie.com
T: 212-626-4342

Perrie M. Weiner (*pro hac vice* pending)
10250 Constellation Boulevard
Suite 1850
Los Angeles, CA 90067
perrie.weiner@bakermckenzie.com
T: 310-201-4709

*Attorneys for UBS Securities Canada, Inc.
and UBS Financial Services, Inc.*